

**TRANSPORTATION ADMINISTRATIVE SERVICES CENTER (SVC-120)**  
**FY-99 5-YEAR IT PLAN**  
**EXECUTIVE SUMMARY**

The Dockets Management System (DMS) stores on-line information about each proposed and final regulation and each case or proceeding on file at the Department of Transportation (DOT). The DMS is used by the DOT staff, public, and transportation industry as well as by foreign governments to participate in the regulation of the transportation system. Access to DMS is available on the Internet and public workstations in the Central Docket Facility. DOT uses the docketed material to make regulatory and adjudicatory decisions, and allow review of the materials by interested parties. Docketed material reflects the basis for regulatory and adjudicatory decisions.

The Dockets Management System (DMS) is an electronic, image-based database in which all DOT docketed information is stored for easy research, and retrieval. DOT used off-the-shelf imaging technology to meet the legal requirements of maintaining a record of docketed material and producing certified true copies of the docket for adjudicatory and court proceedings. This system transfers docketed materials into an unchangeable electronic format for easier storage, access, research, and retrieval. Sophisticated indexing enables easy retrieval and analysis of docketed materials. DMS features an open architecture that uses the latest technology designed to be flexible enough to incorporate new advancements. DMS is based on high performance Sun Solaris platforms running Oracle 8.

In addition, DOT has one centralized, fully-automated facility where DOT customers can interact with "One DOT" - an important departmental strategic goal. The centralized dockets facility can answer the public's questions about any DOT docket and provide service to any customer seeking help on any departmental filing procedure, status of order, proceeding, rulemaking action, and Federal Register publication submission. The facility also provides a full-service reference room with state-of-the-art computer workstations that permit fast, easy retrieval of information and enhanced search capabilities.

### **Overall Accomplishments**

DOT consolidated nine paper-based docket offices into one, centralized, fully automated, secure, department-wide Dockets Management System which offers rapid retrieval and sophisticated cross-referencing and searching of docketed information with tutorial, help, customer feedback, and frequently asked questions features on-line.

- The consolidation has reduced DOT operating costs by \$1.269 million annually. DOT is leading the way for more effective Federal-wide dockets services by maximizing government-wide information technology use while minimizing information technology investments. For example, DOT has assisted EPA in reducing their dockets development costs by using DOT DMS components.

DOT provided over 200,000 transportation business users and general public customers with convenient, desktop access to 680,000 pages of docketed material, allowing them to participate actively--24 hours a day, seven days a week--in setting national transportation policy and regulations.

DOT has saved our Industry Partners and the general public time and money. Prior to DMS, one had to travel to nine separate offices during business hours to view docketed material or to submit materials into a docket. Now customers can submit materials from their own homes and businesses, worldwide, at anytime.

### **1998 Accomplishments**

- Completed Audit Trail Requirements Analysis, System Design, Testing, and Implementation to convert all embedded SQL to PL/SQL in the Oracle database.
- Completed the Requirements Analysis, System Findings, System Design, and Testing of the Electronic Submission capability.
- Completed a new DMS Web site with revised Audit Trail reports, new online comment and help system, and improved user interface.

Completed interviews for the DMS Security Enhancements with the DOT Operating Administrations. Completed the requirements document for the DMS Security enhancements.

Dockets staff supported the RSPA On-line Public Hearing, where RSPA customers participated in a Rulemaking Public Hearing over the Internet via a "chat room" and downloaded the transcript and other materials produced in that Hearing into the associated RSPA docket.

### **1999 Objectives**

Provide DOT industry partners and the general public with one, consolidated, electronic docket system that is international in reach, intermodal in character; and inclusive in nature.

Provide DOT customers with a docket information system that is secure, reliable, compatible and cost-effective. Provide DOT customers with desktop access to DOT docketed information to increase their democratic participation in the Department's policy, regulatory and adjudication work.

- Reduce the costs of DOT dockets and reduce the costs to customers of accessing docketed information.
- Provide Dockets Management services to other Federal agencies, thus reducing their development and operational costs and providing the American public with a government that works better, is more practical, and costs less.

### **1999 Goals**

- Expand DMS to allow customers to file comments electronically. Continue improvements in public accessibility of the automated DMS. Expand the capability for the electronic filing of documents to Department Dockets.

- Convert the Dockets Management System to full text searchable format.\*
- Using expanded DMS technology, automate the currently manual method for coordination used throughout DOT for material prior to it being docketed.\*
- Develop DOT-wide EFOIA system using DMS software and technology.\*

\* Were contingent upon TPR&D appropriations which was not funded. Consequently, development work is planned in FY2000 and beyond.

## **FY-99 FIVE YEAR IT PLAN**

**INITIATIVE ID:** TASCO001      **OA:** TASC

### **TITLE OF PROGRAM/PROJECT:**

DOCKETS MANAGEMENT SYSTEM (DMS)

**TOTAL LIFE CYCLE COST (IN \$000):** \$5,792

### **DESCRIPTION:**

Dockets is a data base management system that allows imaging of legal documents within the Department of Transportation giving the ability to have them available, stored, retrieved and searched electronically. We are able to provide these documents to external and internal Department customers via the internet.

### **JUSTIFICATION - PERFORMANCE AND SAVINGS:**

By consolidating nine separate dockets offices throughout the Department into one and automating it, it saves in reduced staffing and space, as well as taking us hugely forward in customer service because people can view documents directly from their desktop via the internet. Additionally, the materials are rulemaking materials so it's things the Department's going to do which will impact people and we're now better able to participate by giving access to these

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### **CONTRACT STRATEGY:**

Competed through ITOP procurement